

Application No. 09/827,333

**AMENDMENT TO THE CLAIMS:**

This listing of claims below will replace all prior versions and listings of claims in the present application.

1-5. (Cancelled)

6. (Currently amended) A rules engine computer system, comprising:

a) an interface for receiving a plurality of transactions, each transaction containing a request either (1) for an order to be sent to a market for execution or (2) for execution of an asset transfer from an account; and

b) a storage medium having rules stored thereon for determining whether or not to allow execution of a requested order or asset transfer, the rules having parameters for analysis of the requested order or asset transfer and a plurality of preset levels of scope of application, wherein:

each rule has an assigned level of scope of application selected from the plurality of preset levels,

each preset level of scope of application specifies a scope of source of transactions for which a corresponding rule should apply to all transactions from any source within the specified scope, and

the assigned level corresponding to each rule is adjustable from a first one of the plurality of preset levels to a second one of the plurality of preset levels based on a user setting; and

c) an order/transaction processing section having access to the storage medium, for applying at least one of the rules to each respective received transaction based on source and

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level of the respective received transaction being within the specified scope of each applied rule, to determine whether or not to allow execution of the requested order or asset transfer contained in the respective received transaction, wherein:

upon determining to automatically approve execution of the requested order or asset transfer contained in a first received transaction, based on application of at least one of the rules to the request for the order or asset transfer in the first received transaction, the order/transaction processing section forwards the order or the asset transfer in the request contained in the first received transaction to an execution process for fulfillment; and

upon the application of at least one of the rules to a second received transaction indicating a manual user approval is required for execution of the order or asset transfer, in the request contained in a second received transaction, the order/transaction processing section forwards the request for the order or asset transfer contained in the second received transaction to a user for possible manual approval for execution for fulfillment.

7. (Previously presented) The rules engine computer system of claim 6, in which the assigned level of scope of application of an applied rule specifies a specific account.

8. (Previously presented) The rules engine computer system of claim 6, in which the assigned level of scope of application of an applied rule specifies a specific registered representative.

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9. (Previously presented) The rules engine computer system of claim 6, in which the assigned level of scope of application of an applied rule specifies a specific office.

10. (Previously presented) The rules engine computer system of claim 6, in which the assigned level of scope of application of an applied rule specifies a specific firm.

11. (Previously presented) The rules engine computer system of claim 6, in which the assigned level of scope of application of an applied rule is set to the global level.

12. (Currently amended) The rules engine computer system of claim 6, in which [[a]] an applied rule is accompanied by a message to be sent when [[a]] the applied rule is violated.

13. (Previously presented) The rules engine computer system of claim 12, in which the text of said message can be changed by a user for a selected level.

14-28. (Cancelled)

29. (Previously presented) The rules engine computer system of claim 6, wherein upon the application of at least one of the rules to a third transaction indicating a warning:  
the order/transaction processing section forwards the requested order or asset transfer contained in the third received transaction to an execution process for fulfillment; and

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the order/transaction processing section sends a warning message regarding the third transaction to a broker/dealer.

30. (Previously presented) The rules engine computer system of claim 6, wherein upon determining not to send for execution the order or asset transfer in the request contained in a third received transaction, based on application of at least one of the rules to the request for the order or asset transfer in the third received transaction, the order/transaction processing section stops processing of the request contained in the third received transaction without execution of the requested order or asset transfer.

31. (Previously presented) A rules engine computer system, comprising:

a) an interface for receiving a plurality of transactions, each transaction containing a request either (1) for an order to be sent to a market for execution or (2) for execution of an asset transfer from an account; and

b) a storage medium having rules stored thereon for determining whether or not to allow execution of a requested order or asset transfer, the rules having parameters for analysis of the requested order or asset transfer and a plurality of preset levels of scope of application, wherein:

each rule includes an assigned level of scope of application selected from a plurality of preset levels;

each preset level of scope of application specifies a scope of source of transactions for which a corresponding rule should apply to all transactions from any source within the specified scope;

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the assigned level is adjustable from a first one of the plurality of preset levels to a second one of the plurality of preset levels based on a user setting;

each rule has an assigned outcome selected from a plurality of preset outcomes; and

the assigned outcome is adjustable from a first one of the plurality of preset outcomes to a second one of the plurality of preset outcomes based on user setting; and

c) an order/transaction processing section having access to the storage medium, for applying at least one of the rules to each respective received transaction based on source and level of the respective received transaction being within the specified scope assigned to each applied rule, to determine whether or not to allow execution of the requested order or asset transfer contained in the respective received transaction, wherein:

upon determining to automatically approve execution of the requested order or asset transfer contained in a first received transaction, based on application of at least one of the rules to the request for the order or asset transfer in the first received transaction resulting in an automatic approval outcome, the order/transaction processing section forwards the order or asset transfer in the request contained in the first received transaction to an execution process for fulfillment; and

upon the application of at least one of the rules to a second received transaction resulting in an outcome indicating a manual user approval is required for execution of the order or asset transfer, in the request contained in a second received transaction, the order/transaction processing section forwards the request

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for the order or asset transfer contained in the second received transaction to a user for possible manual approval for execution for fulfillment.

32. (Previously presented) The rules engine computer system of claim 31, in which the assigned level of scope of application of an applied rule specifies a specific account.

33. (Previously presented) The rules engine computer system of claim 31, in which the assigned level of scope of application of an applied rule specifies a specific registered representative.

34. (Previously presented) The rules engine computer system of claim 31, in which the assigned level of scope of application of an applied rule specifies a specific office.

35. (Previously presented) The rules engine computer system of claim 31, in which the assigned level of scope of application of an applied rule specifies a specific firm.

36. (Previously presented) The rules engine computer system of claim 31, in which the assigned level of scope of application of an applied rule is set to the global level.

37. (Currently amended) The rules engine computer system of claim 31, in which [[a]] an applied rule is accompanied by a message to be sent when [[a]] the applied rule is violated.

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38. (Previously presented) The rules engine computer system of claim 37, in which the text of said message can be changed by a user for a selected level.

39. (Previously presented) The rules engine computer system of claim 31, wherein upon the application of at least one of the rules to a third transaction indicating a warning outcome:

the order/transaction processing section forwards the requested order or asset transfer contained in the third received transaction to an execution process for fulfillment; and

the order/transaction processing section sends a warning message regarding the third transaction to a broker/dealer.

40. (Previously presented) The rules engine computer system of claim 31, wherein upon the application of at least one of the rules to a third received transaction indicating a stop execution outcome, based on application of at least one of the rules to the request for the order or asset transfer in the third received transaction, the order/transaction processing section stops processing of the request contained in the third received transaction without execution of the requested order or asset transfer.